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Archives, libraries, and museums focused on performing arts have collected musical instruments alongside traditional archival materials in order to connect patrons with the tools musicians and composers utilize to shape cultural legacies. This mixed-methods study illuminates how cultural heritage institutions apply basic archival functions (appraisal, arrangement, description, access, and preservation) to musical instruments.

Representatives from four such institutions were interviewed: Three archives (The Institute of Jazz Studies, the Rock & Roll Hall of Fame Library & Archives, and the Louis Armstrong Archives) and one museum (The Metropolitan Museum of Art). Simultaneously, a survey was distributed to archivists, with respondents detailing their experiences and philosophies related to archiving musical instruments. Issues discussed by those interviewed and surveyed included the importance of a well-defined collecting policy, an access policy that makes holdings available to users while ensuring that the artifacts accessed are subjected to minimal potential damage, and approaches to instrument preservation.

Headings:

Appraisal of archival materials

Archives -- Access control

Archives collection management

Archives surveys

Music archives

Musical Instruments -- Catalogs and Collections

SOMEONE SAVED GABRIEL'S HORN:
MUSICAL INSTRUMENTS IN CULTURAL HERITAGE INSTITUTIONS

by
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Introduction

"Historic [musical] instruments provide a medium, or gateway, through which we can experience a past cultural and aesthetic ambience in a very real way," writes conservator Robert Barclay. "The question of whether to play historic musical instruments, or to preserve them as silent documents, has plagued museum personnel, musicians, and academics for at least 30 years…" (Barclay, 1991, p. 1).

The inclusion of musical instruments amongst the holdings of archival repositories dedicated to the performing arts (music, film, dance, et cetera) can be interpreted as a logical extension of traditional archival documentation, a further illumination of their dedicated subject matter achieved by reaching beyond paper records, manuscripts, photographs, and fixed audiovisual recordings (magnetic and disk media, motion picture film, optical media) to include the tools involved in shaping cultural heritage. Repositories self-identified as archives (or hybrid repositories with a strong archival component) that house musical instruments within their collections include the Institute of Jazz Studies at Rutgers University Newark, the Louis Armstrong Archive at Queens College, and the Rock & Roll Hall of Fame, in addition to the Carnegie Hall Archives, the University of Pittsburgh Sonny Rollins International Jazz Archives, the International Library of African Music, the United States Library of Congress, and others.

Many of the musical instruments held by these repositories carry with them an association with revolutionary musical figures – including both performers and instrument builders – and help to illustrate the creation, evolution, and furthering of cherished musical traditions. Within the walls of some of the institutions above live one of popular swing musician Benny Goodman's clarinets, the trumpets of jazz pioneer Louis Armstrong, string instruments constructed by Antonio Stradivari considered to be among the finest such instruments ever produced, and similar treasures.

The value and importance of such artifacts are not difficult to establish, given their owners' and users' roles in shaping art, culture, and national identity. Harder to define is the role such objects play within an archival context. Integrating any three-dimensional item into an archival collection poses daunting challenges. From a conservator's perspective, musical instruments are "composed of the widest possible variety of materials in alarmingly stressful configurations" (Appelbaum, 1991, pp. 220-221). Achieving intellectual control – describing, establishing contextual relationships with other archival materials, et cetera – over such complex objects is also demanding.

As defined by the Society of American Archivists (SAA), the core functions of an archivist's work are:

- To asses: Commonly referred to in the archival community as "appraisal," this function entails selecting that which is worth preserving and determining the archival value of a record or object against the backdrop of its larger social, cultural, administrative, or historical context.

- To collect and organize: Archivists must arrange and describe their holdings such as to communicate their relevance, value, original function, and contextual resonance.
- To preserve: Preservation actions protect items from further physical harm so as to ensure their continued utilization by an archive's patrons.
- To provide access: Whether via monitored reading rooms, exhibits, digital surrogates, or other means of transmission, archival artifacts must be made available to users for study and evaluation. (http://www2.archivists.org/about-archives)

This study seeks to identify how archivists and curators of archives reconcile the needs of their users and the mission of their respective institutions with their obligations as archivists – the overarching question being: How do musical instruments fit into the archival paradigm?

Within the primary inquiry of this exploratory study lurk a number of interlocking questions affecting the archival treatment of musical instruments, including:

- What forms the basis of the appraisal decision whether or not to include musical instruments in an archival collection?
- How do archivists chose to arrange and describe instruments so as to better communicate their properties and provenance to users?
- If donated as part of a larger collection of more traditional archival materials, are instruments arranged, described, and stored alongside those materials or are they separated?

- Can archives reasonably provide the necessary degree of access to such objects to their users?
- Are archives able to provide the specialized care and attention required to preserve musical instruments in a state appropriate to their degree and type of use?
- Do archives loan their instrument collections to other institutions for exhibitions or research purposes?

This study intends to approach these questions via two methods. A survey of archivists contacted through the Society of American Archivists (SAA) and Music Library Association (MLA) listservs will help to identify which of the above issues pose the greatest challenge to repositories and illuminate solutions these institutions have implemented. These issues will be further explored through more detailed interviews with archivists at four institutions with musical instruments among their holdings. It is hoped that this paper will be a catalyst for an ongoing discussion of best practices for archives that count musical instruments or other analogous artistic implements among their holdings and be a source of guidances for archives faced with the question of whether or not to accession one or more musical instruments.

Terminology

The performing arts repositories discussed in this paper are often hybrid institutions – a combination of different repository types operating under one roof. To ensure clarity and consistency, throughout this paper the terms "archive," "library," and "special collections" will be defined as follows.

> **Archives**: "An organization that collects the records of individuals, families, or other organizations; a collecting archives." (http://www2.archivists.org/glossary)
>
> **Library**: "1. A collection of published materials, including books, magazines, sound and video recordings, and other formats. 2. A building used to house such a collection." (http://www2.archivists.org/glossary)
>
> **Special Collections**: "...a broad term for groupings of library materials that are handled separately from regular, circulating library collections, because of age, scarcity, market value, subject matter, condition, or physical format" (Thomas, 2010, p. 4948).

Methodology

A mixed-method study was conducted through a survey and a comparative case study, carried out concurrently. To achieve a more general understanding of how archival repositories respond to the challenge of appraising, describing, preserving, and offering access to musical instruments, a survey was issued to archivists via several email listservs frequented by archival professionals. The survey, included in full as Appendix I, was targeted at respondents with musical instruments in their collection, with the intention of clarifying their approach to basic archival functions and determining which of these functions presents the greatest challenges. The questions corresponded to areas of key archival responsibility cited above:

- Appraisal
- Arrangement
- Description
- Access
- Preservation

This survey was not designed to discover the percentage of archives holding these sort of objects. Rather, it sought to help quantify approaches and issues in order to determine the most pressing problems faced by repositories with musical instruments. The survey was conducted in and analyzed in Qualtrics, which facilitates the tabulation of data and also allows for cross-

tabulation of different questions, although given the number of participants, any data derived from cross-tabulation was as likely due to chance as to genuine correlation. Answers to the open-ended questions were processed using NVivo qualitative data analysis software, which allows the researcher to tag specific passages based on the topic they reflect. In this case, the tags were largely based on core archival functions.

The comparative case study component of this study focused on three institutions that identify as archives or hybrid (archives/library, archives/special collections, etc.) repositories that include musical instruments in their collection. A museum collection was also included, for reasons detailed below. Interviews were conducted with leadership (directors, curators) and/or collections assistants in order to gain an understanding of the role of musical instruments in the archive's operation and mission. While slightly modified to address specific concerns and specialities at each institution, the interview questions posed were largely the same for each repository. At some archives, due to budgetary constraints, one person may fill more than one of these positions.

Interviews were conducted both via telephone and email as necessary. The results were transcribed, then coded in NVivo. Coding was based on the five core archival functions. Note was made of shared ideas and concepts, as well as of divergent strategies that different repositories employ.

The repositories interviewed for this study were:

- **The Institute of Jazz Studies** (IJS) at Rutgers University in Newark, New Jersey. The IJS is both a non-circulating library and

an archive, containing commercially published sound and video recordings, books, magazines, and journals along with manuscript collections, photographs, rare audiovisual materials, and musical instruments. The stated mission of the IJS is "collect, preserve, and make accessible the heritage of jazz, an American art form that has been embraced by the world" (http://newarkwww.rutgers.edu/IJS/jazz1aa_about.html).

- **The Louis Armstrong Archives** at Queens College in Queens, New York. The Armstrong Archives are part of the Louis Armstrong House Museum, with the archives residing on the campus of Queens College and the museum located in Armstrong's former residence in Corona, Queens, New York. Their mission statement includes the charge to "Collect, arrange, preserve, catalog, and make available to the public materials relating to the life and career of Louis Armstrong" (http://www.louisarmstronghouse.org).
- **The Rock & Roll Hall of Fame** in Cleveland, Ohio. The Rock & Roll Hall of Fame was selected because of their unique approach to collections: Instruments are the property and responsibility of the Hall's museum department, whereas traditional archival materials fall under the purview of the Rock & Roll Hall of Fame Library & Archives which, like the Institute of Jazz Studies, contains both archival materials and a non-circulating library of commercial publications and recordings. The mission of the Rock & Roll Hall of

Fame is “to engage, teach and inspire through the power of rock & roll” (https://www.rockhall.com/).

- **The Metropolitan Museum of Art**, or simply the Met, in New York, New York. The Met is not an archive, but does possess a formidable collection of musical instruments. While they do not have the same obligations to arrangement and access that archives do, their approach to appraisal, description, and preservation could be potentially enlightening and enriching to archivists faced with collecting instruments. Their most recent mission statement (from 2015), is “The Metropolitan Museum of Art collects, studies, conserves, and presents significant works of art across all times and cultures in order to connect people to creativity, knowledge, and ideas” (http://www.metmuseum.org/).

This study was further enriched by the examination of finding aids and collection registries from the institutions in question.

Literature Review

"The archives literature that specifically addresses the appraisal, arrangement, description, preservation, and use of music materials in archives is scarce," wrote Adriana P. Cuervo, now Associate Director of the Institute of Jazz Studies at Rutgers University Newark, in a 2011 case study that is one of the few articles on the subject in the academic literature (Cuervo, 2011, p. 42). A search through journals dedicated to archival practice and librarianship (particularly music libraries), conservation journals, and theses and revealed a paucity of resources describing the specific issues related to musical instruments in archives. Given the lack of literature emphasized by Cuervo and confirmed by my searches, understanding existing streams of thoughts the phenomenon of musical instruments in archives largely involves an investigation of the issue's constituent components: Three-dimensional objects in archives, musical instrument preservation and restoration, and outreach strategies involving archival objects.

Cuervo's case study focused on the accessioning of an electronic musical instrument known as the Sal-Mar Construction into the collection of Sousa Archives and Center for American Music (SACAM) at the University of Illinois at Urbana-Champaign, as part of the collection of composer, educator, and performer Salvatore Martirano. First demonstrated in 1970, the Sal-Mar Construction was developed in conjunction with computer engineers

who had also helped design an early University of Illinois Super Computer. “Acquiring the Sal-Mar Construction presented an interesting challenge for the archive,” she wrote, “mainly in regard to its preservation and access. We found few resources in the archives and digital-preservation literature that we could tap into for this” (p. 34).

Cuervo goes on to describe the difficulties faced in creating archival context for the instrument. The institution's ultimate decision involved treating the Sal-Mar Construction as they had other instruments in their holdings: All materials related to it were also collected and arranged together with the instrument, and it was maintained in operating condition. She sees the device as not only an instrument, but “a record of Martirano's work and evidence of his creative output, which would not be complete if we had not chosen to capture only one performance in a discrete recording.” The instrument and its associated papers are described in a subseries on SACAM's finding aid, although, aside from the decision to “run it periodically,” neither the 2011 case study or the SACAM finding aid stipulate how and under what conditions users are able to (or not able to) access the instrument.

In terms of their value in an archival context, as implied by Cuervo, musical instruments can be interpreted as records in and of themselves – an idea further explored by Megan Rancier. In 2014, Rancier made a case for musical instruments *as* archives of national culture – a conceptual argument tying together the instruments themselves with attendant documentation to form a self-contained repository of national identity. Using a Kazakh horsehair fiddle

called the qylqobyz as her focal point, Rancier defines the archival value of musical instruments as “a category of uniquely meaningful cultural objects that must be understood not only as tools for the expression of cultural and historical meanings, but as sources of those meaning in themselves.”(Rancier, 2014, p. 384)

Within the physical design and material composition of the instruments themselves, Rancier finds “historical and cultural changes…as these changes take place, they accumulate and become incorporated into a musical instrument's archive of history and meanings, like additional documents filed into new archival folders” (p. 384).

In a 2005 master's paper for the School of Information and Library Science of the University of North Carolina at Chapel Hill, Dean H. Jeffrey interviewed five college or university archivists about the challenge of acquiring, utilizing, and storing three-dimensional objects. His findings revealed that objects in archives are often some degree removed from the repository’s mission and collection policy. “Objects sometimes find their way into archives because there just does not seem to be anywhere else to put them,” he writes. “Once acquired, objects can serve to liven up displays and keep exhibits from being nothing but cases full of documents and photographs, but beyond their potential for display, many objects do not seem useful, either to archivists or to their patrons.” (Jeffrey, 2005, p. 47)

Jeffrey stressed that, by adhering more closely to a collection policy, archivists are “more likely to acquire objects that actually have an informational

value, objects that might be used by patrons instead of just serving as fodder for display cases" (p. 47).

The use of archival objects in displays and exhibits is a form of outreach, and by no means a new concept. Bruce Sinclair discussed "Museum Artifacts in Company Archives" in a 1961 *American Archivist* article. Like Cuervo, he urged the creation of historical context via intellectual arrangement and supporting documentation. He also recognized the opportunities that displaying archival artifacts provide, which put the object (and the archive itself) before "a new and different clientele – individual citizens whose intellectual curiosity has been so sharpened by museum exhibits that they seek more information from the museum's library and archives" (Sinclair, 1961, p. 338).

Lending objects to museums and other institutions for exhibition entails a degree of risk to archival objects – including damage in transit and potential theft. Tamar Chute outlines possible dangers in the 2011 article "'What Do You Mean The Museum Went Bankrupt?': Lending Artifacts to Outside Institutions," in which she details the 2007 loan of several artifacts related to Olympic athlete Jesse Owens (including one of his gold medals) from the Ohio State University Archives to the Sports Museum of America. The museum went bankrupt, and the University's artifacts were mired in proceedings that eventually required payment of a fee to have them returned.

In a June 2016 visit to the National Jazz Museum in Harlem, I made note of a trumpet owned by jazz great Cootie Williams, provided to the museum for exhibit through a loan from the Institute of Jazz Studies – cementing in my mind

both display and loan as tools of archival outreach, raising awareness of the Institute to visitors who might not have otherwise encountered it.

However, most musical instruments' principal function is not to be gazed upon. The tension underlying musical instrument preservation and restoration is underscored in the subtitle of Robert Barclay's 2004 monograph *The Preservation and Use of Historic Musical Instruments: Display Case and Concert Hall*.

Barclay concedes that treatments designed to restore a musical instrument to playing condition might undermine the instrument's value as a historical record. He offers several case studies as examples of varying degrees of restoration, including that of pianist Glenn Gould's Steinway grand piano. Gould preferred his instruments to be set up in a state very different from what is considered standard for concert pianos. His specifications included harder felt hammers (for a more treble-heavy sonic quality) and what Barclay describes as “a very shallow tough…half of that normally specified by Steinway and Sons” (Baclay, p. 91).

When purchased from Gould's estate by Ottawa's Rideau Hall in 1983, the piano was fully restored and, as of the time of the book's writing, was still in use there. The donor agreement had no terms stating that the piano needed to be maintained as Gould had kept it. In fact, the cost of the renovation was factored into the purchase price. The resultant work, however, met with some criticism in the community of Gould scholars and enthusiasts. Such thorough renovation, Barclay notes, can be characterized as “the obliteration of the tangible evidence of

Glenn Gould's ownership" (p. 97). Barclay continues, "It is fascinating to see elements of the pathetic fallacy here, because the instrument is being used as a signifier of Glenn Gould by its presence alone, and not by any unique physical feature of it" (p. 98). The piano's potential use as a document recording Gould's exacting, eccentric technical specifications was severely compromised.

The example of Gould's piano illustrates Barclay's polar duality of preservation motivations. On one end stands currency. When focusing on currency, "musical function is the goal of treatment" (p. 37). The instrument can be improved by the adjustment and even replacement of parts in order to meet generally recognized standards of functionality. Exerting an opposable influence is the notion of conservation, in which "the current state of the instrument is respected" (p. 49). Conservation "reserves historic artifacts in a non-functioning state as sources of information." The degree of preservation (or restoration) engaged in by archives will fall somewhere on this currency/conservation spectrum, based on the institution's mission, goals, and user needs.

This tension between display and use was also noted by retired Metropolitan Museum of Art curator of musical instruments Laurence Libin in a brief study of instrument preservation in Russia. There, cultural and economic factors have put a strain on instrument collections. "The idea that a potentially functional instrument should be set aside for posterity and not be fixed and used," he explains, "is hard to fathom in hard-strapped societies that yearn for music" (Libin, 2011, p. 28). As a result, "many fragile, structurally compromised musical instruments in Russian museums remain under pressure to work as

their makers intended, unlike antique firearms, furniture, silverware, and other decorative objects that normally enjoy greater protection, divorced from their original functions" (p. 27).

Contributing to the issue is Russia's paucity of trained conservationists. "Curators can't count on the support of respected instrument conservators," Libin observes, "because as far as the author knew in 2011, there were no such specialists in Russia; there are plenty of repairmen, though, whose livings depend on old instruments wearing out." He suggests the practice of benign neglect is responsible for the preservation of many historical instruments, as they have not been poorly repaired or forced to perform in a manner they are no longer capable of. However, the situation there is not entirely dire: Libin points to the Internet as a source for Russian instrument curators to discover conservation techniques from around the world. The result is "the emergence of more effective presentation strategies and access policies" (p. 30).

Survey

Introduction

Between January 17 and February 18, 2017, a twelve-question survey on archival practice as it relates to musical instruments (see Appendix I) was made live via the University of North Carolina Chapel Hill's Qualtrics server. Participants were solicited through three email listservs: The Society of American Archivists' Archives & Archivists List, the Society of American Archivists' Performing Arts Roundtable List, and the Music Library Association's MLA-L. A message with a link to the survey was posted when the survey was activated, and a reminder message was posted a week before the survey was taken down.

Response Rate and Respondents

When the survey was closed on February 18, 72 completed and partial responses were recorded. For the purposes of data tabulation, only the 53 surveys that were completed from beginning to end were utilized.

The bulk of respondents identified their employing repository an archive or a hybrid repository of which an archive is a part. Twenty three respondents (43.40%) described their institution as an archive, 12 as a special collection (22.64%), nine as library (16.98%), and nine as "Other." Those who responded as "Other" were given the opportunity to specify, and those who did largely indicated hybrid repository types: special collection and archive (3), library and

archive (2), library and special collection (1), and special collection and university archive (1). One respondent identified their institution as a "De Facto National Library."

Participants in the survey were allowed to choose more than one capacity to describe their role at their respective institution, and a variety of archival responsibilities were indicated. Curatorial (56.60%) and reference (47.17%) were the most prevalent responsibilities, followed closely by "Other" (45.28%) and processing (41.51%). Six of the "Other" respondents included administrative duties in their responsibilities, four indicated director or leadership roles, four noted teaching or outreach responsibilities, four simply identified their roles as "archivist," and two included digital tasks. One identified their role as "acquisitions," while two provided an answer akin to "all of the above."

Forty-eight (90.57%) of the 53 participants who completed the survey indicated that their repository has, at some point, accepted musical instruments into their collection. At this point, the survey ended for the five (9.43%) respondents who answered that they do not or have not collected instruments. Twenty of the 23 repositories identified as archives claimed to have accessioned musical instruments, as did all twelve special collections and seven of the nine libraries – although a relatively high p-value of 0.23 indicates that results based on cross-tabulating these two sets of answers may likely be due more to chance than any meaningful correlation.

Relative Difficulty of Archival Tasks

Survey participants were asked to rate the difficulty of performing the five key archival functions as identified by the Society of American Archivists as they apply to musical instruments, with a rating of one indicating no challenge and a rating of six representing a substantial difficulty. Based on the mean rating, the functions can be ordered from most difficult to least difficult. Preservation and appraisal emerged as the most challenging issues for survey participants, with description, access, and arrangement closely grouped below them:

	Mean response:	Standard deviation:
Preservation:	4.24	1.35
Appraisal:	3.26	1.48
Description:	2.81	1.22
Access:	2.73	1.57
Arrangement:	2.62	1.38

Appraisal

To better understand the factors that influence appraisal decisions related to accepting musical instruments into archives, libraries, and special collections, participants were asked to select which (if any) of five possible considerations plays a role in their decision-making. Respondents could choose all that applied. They responded as follows:

An instrument' association with an important creative figure:	71.11%
Cultural or ceremonial importance:	51.11%

Rare or ideal example of a particular type or make of an instrument: 46.67%

Donor stipulations: 37.78%

Monetary/market value: 11.11%

Participants were also allowed to add their own criteria via an "Other" field, which 28.89% of respondents opted to do. Among the additional criteria mentioned was:

- Association with an important figure at the repository's host university or organization (5)
- Part of a larger collection (3)
- Relationship to university curriculum
- Space ("We'd have trouble accepting a pipe organ, and we've got several pianos. But anything smaller would be fine.")
- Aesthetic value
- Condition

Arrangement

To help determine how instruments are or aren't positioned within the context of accompanying collection material, survey participants were asked to choose which of the following best described their response to the offer of a collection that included musical instruments alongside more traditional archival materials. Participants answered:

- Accept these objects as part of the collection: 57.78%

- Ask the donor to separate the instruments from the collection and have him or her deposit them elsewhere: 13.33%
- Decline the collection: 2.22%

An "Other" option was available, and selected by 26.67% of participants, summarized as:

- It depends on the collection and the instrument's or instruments' relationship to the other materials (5)
- This has only happened rarely (3)
- We no longer accept instruments (2)

Description

Survey participants were asked to indicate which if any descriptive standards they used. Half of the participants indicated using Describing Archives: A Content Standard (DACS) – not surprising given the large percentage of archivists taking part. Complete results are below:

- Describing Archives: A Content Standard (DACS): 50.00%
- None: 29.55%
- Cataloging Cultural Objects (CCO): 6.82%

An "Other" option was also provided, and selected by 22.73% of respondents. Among these responses included:

- Unique local combination of CCO, DACS, and/or AAM (4)
- Descriptive practices still being refined (3)

- Instruments listed in collection register (2)
- Nomenclature for Museum Cataloging 4.0
- Past Perfect museum software
- RDA/MARC
- Photos provided by donor

Access

When it came to how access was provided to musical instruments in the collections of those surveyed, a majority responded that instruments are treated similar to other artifacts in the collection – with no special stipulations attached. No institutions indicated that the instruments were used in public performance as a means of exhibition or access.

- They are treated exactly like other records in our archives and are available to be studied under the same terms and conditions: 53.66%
- Items are displayed prominently in our reading room or exhibition space: 17.07%
- Access is not granted: 7.32%
- Access is only granted to certain authorized parties (please specify): 4.88%
- We offer periodic demonstrations or performances featuring the instrument in question: 0.00%

Everyone who indicated that access was only granted to specific people explained that instruments could only be accessed by repository staff or faculty.

An “Other” option was available and selected by 17.07% of participants, who indicated:

- Instruments are or will be exhibited somewhere (4).
- A combination of the above options (display and supervised access) (3).
- They can be examined under the supervision of an archivist (2).
- Instrument still being processed.
- Instruments are demonstrated, provided that this will not harm the instrument.

Preservation

When asked about their approaches to preservation, which those surveyed identified as the most difficult aspect of collecting musical instruments, benign neglect emerged as the most common practice. Those who did choose to actively maintain the instruments in the collection were closely divided between maintaining the original owner’s personal preferences or adhering to more universal standards of playability.

- Benign neglect: 40.00%
- Keeping the artifact as close to its original use state as possible (maintaining owner's original settings and preferences): 25.00%
- Keeping the artifact as close to an optimum use state as possible (maintaining a standard level of upkeep unrelated to the original owner's preferences): 22.50%

The approaches of the 12.5% who chose the “Other” option can be summarized as:

- Benign neglect under controlled conditions, but with occasional restoration if sponsors can be found. (3)
- All of the above.
- Keeping artifacts as close to the original use state as possible, with some exceptions.

Comparative Case Study

The following sections, arranged by archival function, detail findings resulting from interviews conducted with personnel from the Institute of Jazz Studies, the Louis Armstrong Archive, the Rock & Roll Hall of Fame, and the Metropolitan Museum of Art.

Appraisal

In order to fully appraise musical instruments, the institutions spoken to triangulate factors relating to the artifact's provenance and condition with the collecting organization's stated mission and collecting legacy. As defined by the Society of American Archivists, "provenance" refers to the "the individual, family, or organization that created or received the items in a collection" (http://www2.archivists.org/glossary). While the Metropolitan Museum of Art assigns the role of creator to the manufacturer of the instrument, for the Institute of Jazz Studies and the Louis Armstrong Archives, the creator is more often equated to the musician who owned and utilized the object.

"We're not interested in acquiring instruments just for the sake of having instruments," explains Ricky Riccardi, Director of Research Collections for the Louis Armstrong House Museum, of which the Armstrong Archives are a part. In his role, Riccardi is responsible for, in his words, "all things relating to our

collections: acquisitions, exhibitions, reference questions, arranging, preserving, cataloging, et cetera." The Armstrong House Museum has published a concise four-part mission statement, including the charge to "Collect, arrange, preserve, catalog, and make available to the public materials relating to the life and career of Louis Armstrong" (http://www.louisarmstronghouse.org/). "Thus," Riccardi explains, "musical instruments are not specifically stated, but they are implied."

"If it has a direct connection to Louis Armstrong, we'll take it," he continues. "Our Collection Development Policy is pretty simple: If it's related to Louis, we'll at least consider it. Thus, if someone has a trumpet belonging to Louis Armstrong, we'd research the validity, but would be interested.

"If it is not related to Louis Armstrong," he continues, "we're not interested. The son of the great drummer Sid Catlett contacted us a number of years ago and said he had some of his father's drums. Sid Catlett is my favorite drummer of all time, and he spent a number of years with Louis, but he also played with tons of other musicians and we're not even certain if the drums in questions were used during his tenure with Armstrong. So we had to pass."

According to Dan Morgenstern, who acted as the Director of the Institute of Jazz Studies (IJS), part of the Rutgers University Libraries, from 1976 until his retirement in 2012, all of the instruments in their collection also have an association with a figure related to jazz music. "They all have a personal connection," he explains. "There wouldn't be any reason for us to have them otherwise. We're not an instrument collection, but we are a jazz collection."

“I can sum up our collections policy in a nutshell,” adds Vincent Pelote, the IJS’s current Director of Operations. “We collect pretty much all things jazz-related. The Institute was originally the private collection that belonged to Marshall Stearns and his idea at the time was to be the one-stop shop for jazz research. So we have continued that policy even today.”

Stearns had, in his original collection, a tenor saxophone belonging to influential jazz musician Lester Young, in addition to a number of African and Native American instruments. “Unless there were some private individuals who were collecting these type of things which I don't know about,” explains Morgenstern, “I think that was the first instance of a well-known jazz musician’s instrument being accessioned by something institutional.”

The IJS has grown its collection by continuing to add instruments associated with jazz figures both iconic and obscure. “The instrument under consideration doesn't necessarily have to be related to a major figure,” explains Pelote. “For example, we have a tenor saxophone that belongs to Edgar Sampson. He's not as well known as Ben Webster or Coleman Hawkins, and he actually played primarily alto saxophone. He was in the big bands of Chick Webb and Fletcher Henderson, and he is credited as a composer on the song ‘Stompin at the Savoy.’

“That said, we also have the saxophones of three major jazz musicians: Lester Young, Ben Webster, and Don Byas – and Benny Carter gave us his alto. We’re lucky that we have instruments by major names, but we'll take them by marginal players as well if they have some importance in the jazz scene, and

Edgar Samson was an important sideman – he was a sideman mostly – but he played with a lot of good people."

At the Rock & Roll Hall of Fame in Cleveland, Ohio, most of the instrument appraisals are not conducted by the Library and Archives division, owing to the institution's structure, which divides the museum holdings (instruments, textiles, et cetera) from the archival holdings (papers, photographs). "Things have been donated as a collection of instruments, clothing, and also archival and library materials," explains Andy Leach, Senior Director of the Rock & Roll Hall of Fame Library and Archives. "These collections typically tend to go to the museum first, because collections like these are usually from an artist, and are usually a result of one of the [museum] curators dealing with with those folks directly about acquiring or getting a loan of their their stuff for a particular exhibit."

New York City's Metropolitan Museum of Art is home to around 5,000 musical instruments from around the world, with some artifacts dating back over 2,000 years. While not an archive, their collecting and preservation practices may prove enlightening to archivists, and are thus included in this study. According to Musical Instruments Collections Management Assistant Gillian Suss, "There is not a specific policy for collecting musical instruments at the Met. Like any other department, we need to justify any acquisition in terms of how it will benefit our department and the greater museum's mission." Unlike the IJS and the Armstrong Archive, associations with important musicians are less important to the Met's collecting. "At this point in time," Suss continues, "we are

focused on building our collection through the acquisition of instruments that are exemplary examples of objects that are not currently represented, or are underrepresented, in our collection."

As the Met goes about filling gaps in their instrument holdings, potential new artifacts are evaluated both in terms of their fit with existing items and their condition. "Condition absolutely influences our collection decisions," says Suss. "For the most part, it is curatorial choice that decides what we acquire. We are lucky to work at an institution with the resources that allow us to acquire the best of the best, either through gift or purchase."

Pelote of the IJS also stresses an instrument's condition as part of the appraisal decision. "It's something we look at to see if an instrument is worth taking. If it's falling apart, we don't need it, because we don't have the resources to repair it or to do the type of conservation that it might need. So we hope that it's in fairly decent condition." However, an instrument's poor condition can be offset by a strong association. "We have Benny Carter's c-melody saxophone," Pelote adds, "which is in terrible shape. It's pretty unplayable. But it's Benny Carter's, so we took it."

Both the IJS and the Armstrong Archives raised the importance of opportunity to the collecting process. For the first few decades of its existence, the IJS's collecting of musical instruments benefitted the collecting environment of the era. When Morgenstern first began his tenure, few if any institutions were collecting similar artifacts. "In my early days at the Institute," recalls Morgenstern, "in 1976, there was the two-hundredth anniversary of the signing of

the Declaration of Independence. The Smithsonian had a big exhibit, and they contacted us because they wanted something to represent jazz and they had nothing. So we loaned them the Lester Young horn. That was sitting there in that exhibit for a very long time, and that was all that they had. Today, the Smithsonian has a considerable amount of [jazz-related] stuff. There has been a sea change in that respect."

That change has corresponded with a surge in market value related to instruments with analogous provenance. Morgenstern cites a Sotheby's auction that took place during his tenure at the IJS. "They had some Buddy Rich drum stuff, they had Stan Getz's tenor, they had a Coltrane horn," he recalls. "We didn't have enough money to buy any of these very expensive items…" Compared to the purchasing budgets of the Met, the IJS has limited resources, and has not paid for most of the instruments in its collection. Instead, instruments arrive at the Institute as donations via personal networks or by way of the repository's longstanding reputation. "Everything we have at the institute has been donated," says Morgenstern. "I think most of the instruments we acquired from widows. Also, Ruby Braff left us his horns [in his will]. Aside from a similar bequest of Benny Carter, this was only such instance. [Former IJS Associate Director] Ed Berger's connection to Benny Carter lead to us having all this Benny stuff, which is beautiful."

"Sometimes money is a factor," says the Armstrong Archives' Ricky Riccardi. "There's a man in California who has a genuine Louis Armstrong

trumpet that would have been a sensational addition to the collection, but he wanted an obscene amount of money for it and we had to turn him down."

Morgenstern recounts similar circumstances: "There were opportunities for us to buy instruments, including one of Coleman Hawkins's horn from a British guy who wanted a fortune." The IJS did not have the money the seller sought. "I have no idea if he ever found a buyer," Morgenstern says.

Arrangement and Storage

Applying the archival principle of arrangement – "the process of organizing materials with respect to their provenance and original order, to protect their context and to achieve physical or intellectual control over the materials" (http://www2.archivists.org/glossary) – to musical instruments in collections is difficult, as the instruments are not records generated in a greater functional context but tools used at certain periods in a musician's career. Typically, records are integrated into larger records series and positioned within an archival finding aid to lend the individual items a greater contextual resonance. Thus, arranging musical instruments in archival environments requires an understanding of both on the instrument itself and the nature of the collection that surrounds it – if there is one.

Most of the instruments in the collection of the Institute of Jazz Studies were donated as standalone objects. For instance, the tenor saxophone that belonged to Edgar Sampson came from a family member, without any accompanying papers or other artifacts. "That was just 'Here's a horn.,'" recalls

Vincent Pelote. “It came from his daughter. She might have been cleaning out her basement or something. She just noticed that she had a tenor saxophone that belonged to her dad. She called us up and said ‘Would you like it?’”

Examining IJS finding aids, only a few of the archival collections have associated instruments. The collection of founder Marshall Stearns is multifarious, encompassing his research materials and manuscripts, educational materials he developed, business records, and correspondence. In the finding aid (http://www2.scc.rutgers.edu/ead/ijs/stearnsf.html), the instruments in the collection are presented as part of the last series, titled “Artifacts and Miscellaneous Papers, 1922-1972.” Something of a catch-all, the series includes correspondence, essays, and questionnaires not generated by Stearns himself, along with phonographs, a portrait of Stearns, a citation from the NAACP, and the instruments he collected.

The finding aid for the collection of clarinetist Clarence Hutchenrider (https://www.libraries.rutgers.edu/sites/default/files/jazz/Finding_Aids_PDF/Hutchenrider_Clarence.pdf) is similarly arranged, with photos making up the first series, papers and business ephemera making up the second, audio-visual materials making up the third, and the fourth series containing Hutchenrider’s instruments (in this case a recorder, an ocarina, and a clarinet). While the IJS is home to both personal papers and musical instruments from the late composer and multi-instrumentalist Benny Carter, the instruments are not mentioned in the collection register of the archival collection of Carter’s papers.

When asked if musical instruments are arranged as independent objects or within accompanying papers, Ricky Riccardi of the Armstrong Archives explained, “We have only had two Armstrong trumpets donated and they represent each side. One was a standalone object given to us by the family of a musician who originally received the horn as a gift from Louis in the 1930s. The other is from when we acquired the Jack Bradley Collection, the world's largest private collection of Armstrong artifacts, and he had a 1933 Armstrong trumpet it in it.” The trumpet from Jack Bradley is filed with the rest of the objects from that collection. “We have 10 research collections,” Riccardi adds, “ but only one, the Satchmo Collection is dedicated to regularly added acquisitions. Thus, a new instrument, if it's a standalone, would get a record and an accession number in line with the Satchmo Collection.”

“We purchase and receive as gifts both individual instruments and groups of instruments,” says the Met’s Gillian Suss. “I’m pretty sure that it’s rarer to receive instruments as gifts within larger groups of more typical ‘art’ objects – paintings, drawings, photos, et cetera. Differences in the number of objects we receive at any time are usually indicated in the object’s accession number.” The catalog number the Met assigns to new instruments indicate whether they are individual objects or part of a collection. “For the most part,” says Suss, “the Met numbers their objects following the standard way that most museums do – a three-part number in which the first number represents the year during which it was acquired, the second number is the acquisition lot – the number gift/purchase it was to enter the building – and the last is the number of objects

with the group. These three parts are separated by decimal points. For example, an object that was the 57th gift/purchase from last year would have the accession number 2016.57. A set of 12 objects that was the 200th gift/purchase would have the accession number 2016.200.1 – 2016.200.12."

Positioning an artifact in a finding aid is an assertion of intellectual control, allowing the object to be contextualized in a manner unrelated to its actual physical storage. As three-dimensional objects, instruments have different storage requirements than paper records. The ever-escalating market value of instruments associated with important musical figures also presents security concerns. "Physically," Ricky Riccardi says, "we have a safe in our stacks where all of Louis's trumpets and mouthpieces reside."

"We don't store papers and instruments together," adds Vincent Pelote of the Institute of Jazz Studies. "All of our all of our instruments are in the Rare Items Room, mostly in lockable storage cabinets – with a few exceptions. Tommy Benford's drums wouldn't fit, so they sit just outside the Rare Items Room. And Edgar Sampson's saxophone is in the room, but in its original case."

When instruments are mentioned in finding aids, the IJS alerts users (and archivists referring to them for reference purposes) that the instruments are stored separately. In the case of the Marshall Stearns collection, the note is made at the series level, indicating the series includes "awards, a [sic] oil portrait of Stearns and musical instruments and antique phonographs, which are stred [sic] in the Rare Items Rooms." A similar note is in the Hutchenrider finding aid ("…located in IJS Rare Items room").

The Rock & Roll Hall of Fame in Cleveland, Ohio, is also home to both traditional archival holdings and three dimensional artifacts such as musical instruments and textiles. However, at an organizational level, the archival and museum artifacts are not integrated: Papers, scores, manuscripts, and other traditional materials go to the institution's Library & Archives department, while the artifacts go to the museum. Because of this structure, collections that include both types of materials are separated.

"Those collections [that include both papers and three-dimensional objects like musical instruments] first get parsed at the museum," Leach continues, "and split between the departments based on the formats. So any documents, photos, audio, or video would would come over here to the Library and Archives. It's very rare that the Library and Archives would get an instrument before the museum does, although it did happen. In the fall we got a collection of papers that I was dealing with the donor about. While working with the donor, I also worked with the museum curators, who agreed that they did want the instrument [that came with the collection] – which actually was an accordion. And so it arrived here all together, but it was mostly arrangements, papers, and scores. The one instrument was then transferred over to the museum."

Although collections at the Rock & Roll Hall of Fame are divided by format, the archival finding aids do not cross reference museum objects. "Currently we don't refer to the materials that have been separated if they go over

to the other department," Leach explains, "only because they're not available to researchers."

Description

In addition to reflecting an archival collection's intellectual arrangement, a finding aid serves a descriptive function, allowing users "to browse a surrogate of the collection" (http://www2.archivists.org/glossary). Robust description lets researchers pinpoint what materials they want to have access to (as opposed to wading through boxes of materials that may possibly be relevant), thus reducing the circulation of archival holdings and minimizing the wear caused by handling.

Instrument description at the Institute of Jazz Studies is minimal. The instruments in the finding aids mentioned above (the Stearns and Hutchenrider collections) are not described, just listed. The rest of the IJS's instruments are not part of larger collections. Rather, each of their thirty one instruments is given a line listing on their website (http://newarkwww.rutgers.edu/IJS/jazz5a.html), with just the instrument owner's name and the type of instrument: "Miles Davis trumpet," "Pepper Adams baritone saxophone," etc. If the instrument is a non-standard variant, that is noted, such as "Eddie Condon 4-string guitar" (as opposed to a typical six-string instrument), "Brad Gowans combination slide/valve trombone"(most trombones have either a slide or valve arrangement, but not both), or "Marshall Brown left-handed trombone." Eight of the instruments (a little over a quarter of the collection) have additional material about them online. Three have a photo and audio sample of the musician (Don

Byas's tenor saxophone, Miles Davis's trumpet, Roy Eldridge's trumpet, Ben Webster's tenor saxophone, and Lester Young's tenor saxophone). Instruments from Benny Carter and Pee Wee Russell have a photo. The listing for the double bass of bebop pioneer Curly Russell directs users to a short article featuring information about Russell, the bass, and its restoration.

"We actually don't have finding aids," explains Ricky Riccardi of the Louis Armstrong Archive. "We use Past Perfect Museum Software and each individual item in our collections gets a record there, most of the time being described with plain old English. And we've had various workers – professional and student – over the years, so descriptions admittedly have different tones."

The individual item descriptions are brief. "Just the basics," Riccardi emphasizes. "What kind of instrument, who made it, any distinguishing marks, serial number, year, etc. We'll have notes about provenance and current state or condition but those are usually just for us on the back-end, not for the public." A sample record is pictured in Figure 1 below:

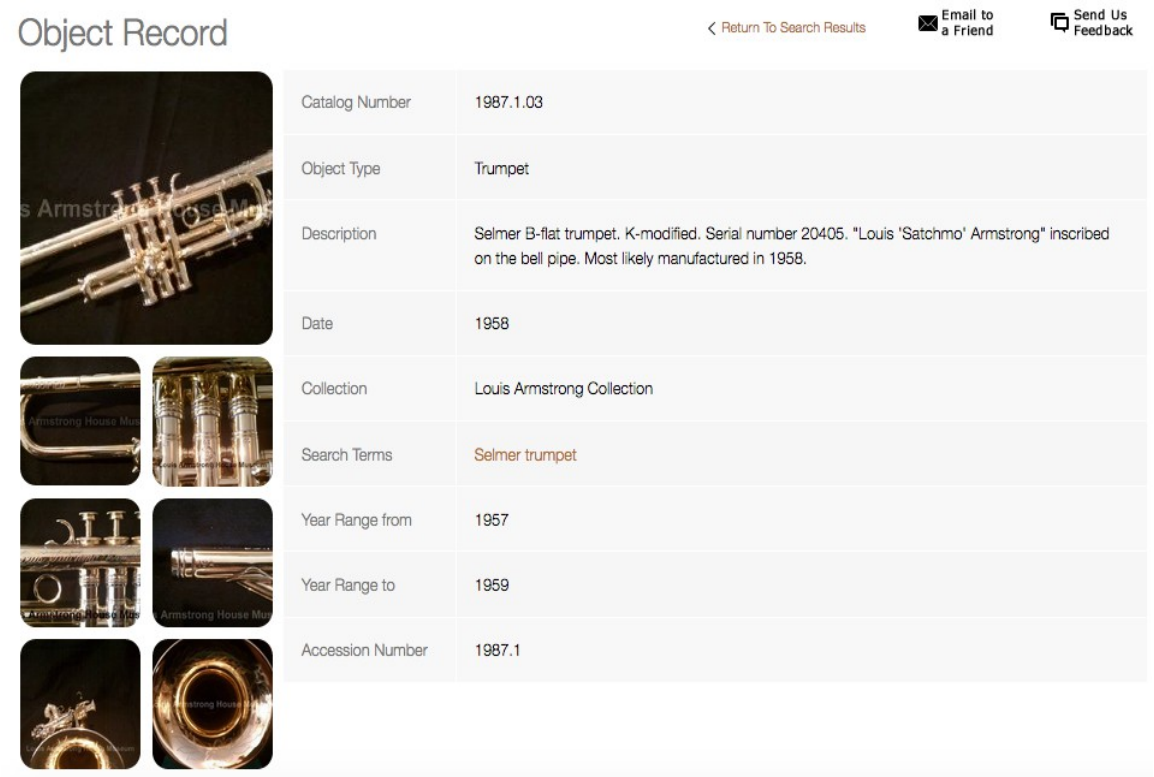
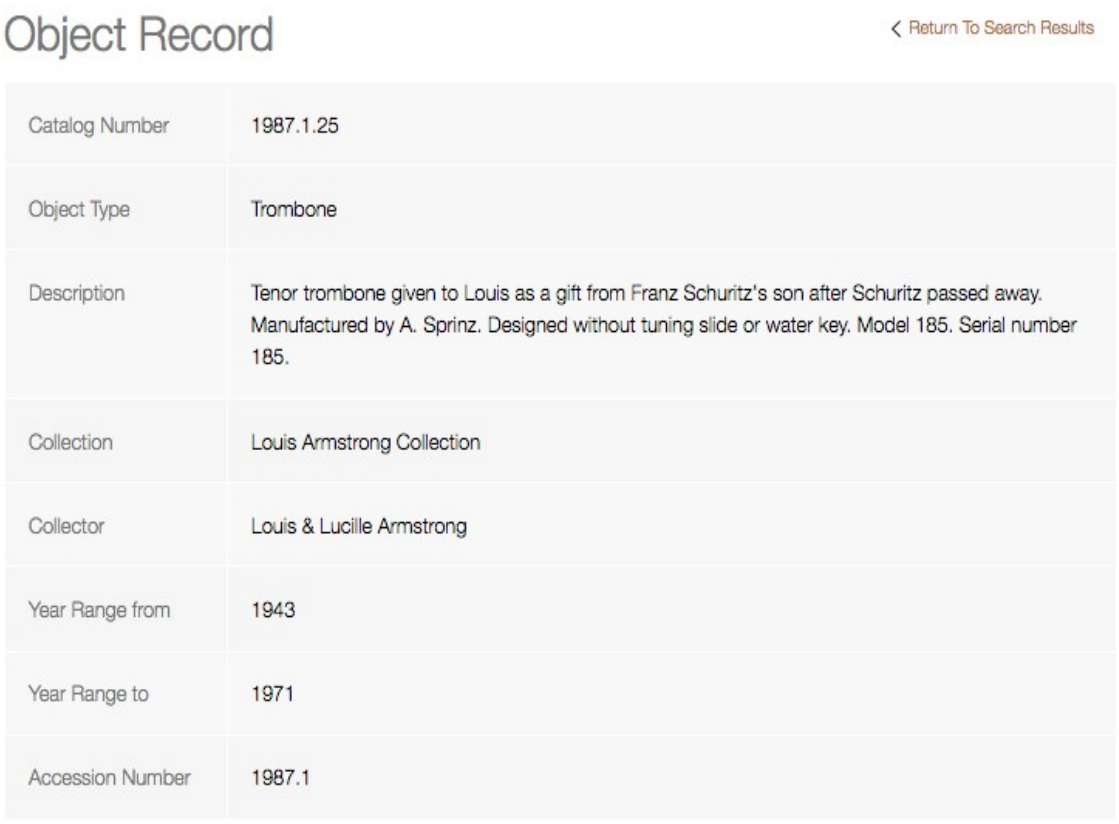


Figure 1: http://louisarmstrong.pastperfectonline.com/webobject/DA9968F8-4516-4C27-ACB2-617507804659

As Riccardi indicates, the information provided is concise: The manufacturer and model of the horn, the custom inscription, the likely date of manufacture, and the "Year Range," indicated when the horn was likely used by Armstrong. The fact that the instrument belongs to the Louis Armstrong Collection means that it was Armstrong's personal property, and not donated to the museum by another collector. With the exception of instruments from the extensive Jack Bradley Collection, newly donated artifacts are included in the archive's Satchmo Collection.

Depending on who wrote the description, some instruments have a more in-depth note on provenance, as in Figure 2:



Object Record

< Return To Search Results

Catalog Number	1987.1.25
Object Type	Trombone
Description	Tenor trombone given to Louis as a gift from Franz Schuritz's son after Schuritz passed away. Manufactured by A. Sprinz. Designed without tuning slide or water key. Model 185. Serial number 185.
Collection	Louis Armstrong Collection
Collector	Louis & Lucille Armstrong
Year Range from	1943
Year Range to	1971
Accession Number	1987.1

Figure 2: http://louisarmstrong.pastperfectonline.com/webobject/B05071AF-1F64-4017-82B9-619886509575

The Met provides more robust descriptions for their instrument holdings, documenting the instrument's builder, date of construction, dimensions, material composition, type/class, provenance, signatures or markings, and a short narrative description – along with photographs. "All individual objects are given an entry in our database," explains Collections Assistant Gillian Suss, "which is searchable by what feels like an infinite number of ways: Object name, object accession number, materials it's made from, where it came from, who gave it to us, its size, and so on.

"Unfortunately, there isn't a whole lot standard[ization of description] throughout the museum," Suss continues. "When the Met first got TMS (The

Museum System by Gallery Systems – one of the most respected museum database companies) each department had its own separate version of the program. A few years ago, they decided to combine all of TMS at the Met, so now close to 500,000 objects are on one database. I'm sure that individual departments had their own standards for describing their objects, but it is not standardized across the institution."

As mentioned previously, the instruments at the Rock & Roll Hall of Fame are not currently described in any public-facing finding aids, as they are part of the Hall's museum collection and not available to researchers in the Hall's Library and Archives. However, Andy Leach, Senior Director of the Rock & Roll Hall of Fame Library and Archives, points to a future unifying initiative that would allow archives users to view high-resolution digital images of museum objects in lieu of the artifacts themselves.

"We have a long-term plan to implement a new management system for all of our artifact, archival, and library content," he explains. "That is not currently the case – what we have now is an array of three or four systems. So once we have that in place, our long-term goal is to make that public catalog available to everyone so especially once there's more digital content, including photos of artifacts. At that point, maybe will there will be some kind of indication of when a museum item like an instrument is connected to an archival collection – if an instrument that was donated came from the same donor as an archival collection."

Access

Of the repositories interviewed, three – the Armstrong Archives and the Institute of Jazz Studies, and the Met – allow researchers to examine the instruments in their collection, under controlled conditions. The Institute of Jazz Studies has a "Guidelines for Access and Use" page on their website, which offers general rules for handling IJS holdings. Instruments specifically are only mentioned in one section:

> **Wear white cotton or nitrile gloves** when handling photographs and photographic negatives not encased in Mylar, any metal or glass objects including instruments, and magnetic media. Wear nitrile gloves when an item is slippery to limit the chance that you may drop it. IJS staff will provide you with gloves (https://www.libraries.rutgers.edu/jazz/guidelines)

"We are a public institution," explains former IJS Director Dan Morgenstern. "We are open to the public, to researchers, fans, or followers of particular musicians – or to musicians, who may be especially interested in a specific instrument."

"We offer access to our instrument collections," adds IJS Director of Operations Vincent Pelote, "but it's changed over the years. In the late '70s and '80s, we tended to be a little more lax in letting researchers use resources and look at things like instruments. But since we have added more staff that are trained archivists, they have told us that that's not the way things are done at most archives. Now people have to make an appointment, and what will probably happen is an IJS archivist will get the instrument bring it out to the researcher, who will have to wear gloves if they want to touch it. And of course the archivists

themselves wear gloves. It's a much more by-the-book operation now than it used to be."

An appointment is also necessary at the Armstrong Archives. "We are open by appointment only," explains Ricky Riccardi. "If someone makes an appointment and requests to see the trumpets, I have to be present to get them from the safe. Visitors must wear white cotton gloves while holding the trumpets, but we do allow them to take photos. And this might be controversial, but if it's a trumpet player of an established caliber – a professional, not a beginner – we'll let them play the trumpets, using their own mouthpieces. And then it's fascinating hearing them talk about which horn they liked best, which was the easiest, et cetera. I've seen grown men cry at this experience."

Musicians are afforded similar opportunities at the IJS, depending on the instrument and musician in question. The Curly Russell bass has been restored and is kept in a secure conference room within the IJS's office, where it can be played upon request (see Figure 3). "I remember one time that was particularly fun," recalls Dan Morgenstern, "when Wynton Marsalis came to

Figure 3: The author plays the Curly Russell bass at the Institute of Jazz Studies. Photo by Ed Berger.

have a look. He actually tried all the trumpets. He had to use his own mouthpiece, but he checked out of all of them and you know that was really fun to watch." In instances like this, access doubles as outreach, as a prominent figures such as Marsalis can spread word of the repository based on their experience with its holdings.

Although not an archive, the Met does offer patron access to instruments in its collection, provided no restrictions are in place and only, according to Gillian Suss, "when it is safe for the instruments. We also have rules for people who would like to access the instruments in our department. The rules can be requested and are given to any visitor when permission is giving for the viewing."

The level of access offered by the Institute of Jazz Studies has had a notable impact on donations. Vincent Pelote remembered that, when the collection of jazz composer and pianist Mary Lou Williams was searching for a home, the IJS's access policy was a factor in the donor's eventual decision – which was between the IJS and the Smithsonian. According to Pelote, Peter O'Brien, Williams's manager, "wanted people to use the collection and he knew that in the Smithsonian it would be a little harder to do so. And also I think he wanted more access to it himself that the Smithsonian might not have given him. We didn't mind if he still came in and used the collection. He didn't give it all to us at once – he kept some of it and was giving it to us over time." There was also a close relationship between O'Brien and Morgenstern, Pelote recalls: "He told me quite loudly and quite emphatically that he felt comfortable with Dan and knew

that Dan would take care of the collection. And that's the reason why he gave it to Rutgers and not the Smithsonian."

If access is provided, what can archive users gain from examining musical instruments? "To some visitors, it's part of a pilgrimage," explains Ricky Riccardi. "They love Louis, they just schlepped out to Queens and all they want to do is hold a trumpet, maybe take a photo. It's almost spiritual. But then there's the musicians, usually trumpet players, who are interested in Armstrong's equipment: Why did he like Selmer trumpets? Why did he like them with 'balanced action'? What kinds of mouthpieces do they use? Those visitors usually come away with a lot of theories about why Armstrong did things a certain way."

"These [instruments] are a very tangible and personal piece of jazz-related history," echoes Morgenstern. "And not only that, but they are also important as the documentation of what kinds of instruments these people were playing, what kind of mouthpieces they had if they were brass players. They are not just artifacts of historical interest but are also something that tells us something about who these guys were, what they did, what they used, and how they used it."

Preservation

In order to best illuminate how their instruments functioned in the hands of their illustrious former owners, the Institute of Jazz Studies makes preservation decisions with those musicians in mind. Most instruments can be set up in a number of different ways, depending on the circumstances of their use or the musicians' personal preferences. "We have a guitar that belonged to Eddie

Condon, a four-string tenor guitar," explains the IJS's Vincent Pelote. "The action [the height of the strings above the fingerboard] is pretty high on it. And we keep it that way because that's the way guitars were set up at that time. They were unamplified and, in order to be heard, you had to have high action.

"We also have a saxophone a belonged to Don Byas," Pelote continues. "[Contemporary saxophonist] James Carter has another one that belonged to Byas, from later in Byas's career. There were some changes made to the one Carter has, but we're not going to do to the one that we have because that's the way Byas wanted it at the time. Whether he changed his mind later or did something different things to the later models, we don't we don't care about that. We got the one that he played at a specific time, and we're going to keep it the way it is."

Trumpets, by nature, have fewer user-adjustable facets outside of lubricating and adjusting tuning slides and oiling the valves. Thus, maintaining them in playable condition does little to erase their documentary value. "We try to keep the horns in working shape," says the Armstrong Archives' Ricky Riccardi. "In my seven years here, we've succeeded, as every trumpet player who comes in always comments on how they're in great shape and look and play like they're brand new. When Queens College took over Armstrong's belongings in the late '80s, apparently the trumpets were in pretty rough shape so our Archivist at the time, Michael Cogswell – now our Director – brought them to a professional to get them back to working shape. But ever since then, Michael has taught the Archives staff how to do regular maintenance and we haven't needed to bring

them to any outside specialists. Once a year, we really take everything apart and give them the once-over, but after every visit, we at least wipe them down and every month or so, I'll oil the valves if we've had a trumpeter play them."

The IJS does not have the means to undertake extensive conservation work on their instruments, but they have been able to draw upon specialists willing to donate their time to repair instruments, as was the case with the Curly Russell double bass – which was restored by Mike Weatherly at David Gage's String Instruments in Manhattan. "That instrument was in a state of disrepair," Pelote recalls. "It was unplayable, actually. Through a contact we were able to find a place in New York that was willing to do the work on it for practically nothing. He did it for not a lot of money because he loved Curly Russell and he loved jazz." The bass was outfitted with gut strings, as would have been used during Russell's time, and with high action – typical for stringed instruments in the pre-amplification era.

At the IJS, conservation is performed on an as-needed basis. "It would be situational," says Pelote. "If we notice that something really should be fixed right away, we will go ahead and do it."

Conservation for instruments at the Met generally depends on whether or not the instrument is to be displayed. "This work is currently prioritized by if and when they're going into our new galleries," says Gillian Suss, referring to display spaces currently under construction and scheduled to open later in 2017. "Objects that may take precedent are those going on view in other departments," Suss continues, "or those that may be played at an event."

The degree of conservation effort undertaken at the Met varies. “Some of the instruments in our collection are specifically restricted from being played in any way,” says Suss, “and would therefore only ever have more superficial restorative work. Those objects that can be played or could be played with minor work, are kept in that [playable] condition. We try to control the environment in which our objects are stored and displayed constant so that they remained stable while not in use so large scale restorations are rarely needed.”

Unlike the Armstrong Archives or the IJS – where most conservation is performed by archivists or by outside specialists – the Met has dedicated conservators on staff. “We currently employ two full-time objects conservators with extensive experience working with musical instruments,” says Suss. “Our conservators are working closely with those objects we know will be going back on display [in the new gallery] and any other object that might need more immediate care. We rely on outside specialists for larger projects such as our current restoration of our 1835 Appleton organ.”

Outreach and Institutional Partnerships

All the repositories interviewed for this study see the loan of instruments for exhibition as an essential form of outreach – an extension of access that allows a greater number of people to become aware of the institution’s holdings. As previously mentioned, the Institute of Jazz Studies provided Lester Young’s tenor saxophone to a Smithsonian installation in 1976, when the Smithsonian had few if any jazz artifacts in their collection. Vincent Pelote sees instrument

loans and exhibitions as a way to further the Institute's mission. "It's an awareness thing," he says, "and it's part of the mission. We preserve and allow access to the jazz legacy – we make people aware of it, we educate them. This [instrument loans and exhibitions] is a way of getting our name out there, because not everybody can come to Newark. So when we have our on display in New York somewhere or out in California with the Grammy Foundation for instance, then people are made aware of us that way and maybe they want to come out to Newark and see what we've got. So that's an enticement in some ways."

"From a mission standpoint," echoes the Armstrong Archives' Ricky Riccardi, "it's a great way to let visitors attending those exhibits in other cities know that we exist. As we speak, two of our horns are on exhibit: One at the Old U.S. Mint in New Orleans as part of a big Armstrong exhibit we helped co-curate, the other at the Ryman Theater in Nashville as part of an exhibit celebrating 125 years of the Ryman." Riccardi is quick to clarify that not every instrument in the collection is a candidate for loan. "Those are the only two horns that travel, because they have pretty basic designs," he says. "The other five do not travel, as they are either more ornate or in the case of two of them, on permanent display at the Armstrong House and Armstrong Archives locations."

In addition to collaborating with other organizations via the loan of instruments, the Institute of Jazz Studies works closely with other repositories within the Rutgers library system, sharing resources, best practices, and strategic insight. "In New Brunswick [home to the other Rutgers campus], there is a

division called Special Collections and University Archives," says Pelote. "They collect New Jersey stuff. We work with them all the time – they're our sister organization. We will probably be more involved with them in the future, which would be a good thing.

"We're in the same boat," Pelote continues. "Our problems are similar even though we collect different things." The only music materials in Special Collections and University Archives are related to classical music, Pelote explains, "but it's still archives – the same rules apply, the same kind of things happen. It just makes more sense that we have more contact with them more and do more things with them. And that's been happening over the over years, it's been a steadily growing relationship and I'm glad it's growing."

While they are not the holders of their institute's instrument collection, the Rock & Roll Hall of Fame Library and Archives have established a collaborative workflow that allows the archive staff to contribute to museum exhibitions, selecting and supplying archival artifacts for display and participating in conceiving installations. "There's a lot of collaboration between the two divisions [museum and archives]," says Senior Director of the Rock & Roll Hall of Fame Library and Archives Andy Leach. "When it comes time to talk about upcoming exhibits, there are a handful of us in this department that advise or deliberate over how an exhibit might look. We usually aren't involved with the layouts of the exhibits themselves – it's more about just providing the content that the curatorial department might need.

“I'm actually in the weekly curatorial staff meetings along with one of our archivists, who's also an assistant curator,” Leach adds. This newly created position has a foot in both the archives and the museum in order to facilitate further interaction amongst departments. “There's a lot of collaboration between the two.”

Discussion and Comparison

Appraisal

The survey and the interviews with repository professionals found appraisal – the selection of what to accession into collections – to be largely an extension of institutional mission and collecting policy. A strong association with an important figure within the organization's collecting area is crucial to the appraisal decision. The Institute of Jazz Studies does not simply accumulate instruments – they collect items used by important figures of jazz music. The Metropolitan Museum of Art was an outlier, as they do not specialize in a genre of music or a particular musician. Rather, they seek ideal examples of specific instrument types and representative samples of the work of important craftsmen. The Louis Armstrong Archives refuses instruments with no connection to Armstrong, while the Rock & Roll Hall of Fame Library & Archives does not accession musical instruments at all, directing them to their institutional partners in the organization's museum department.

Several survey respondents spoke of the musical instruments in their holdings as objects acquired not through an effort to seek out and collect instruments, but as artifacts that came in as part of larger collection or via their collecting mission. "Our small musical instrument collection is a legacy collection associated with a larger collection of wood carvings by an noted regional

woodcarver and luthier," one respondent explained. "We're not a music collection and these are unusual for our collection."

The instrument's relationship to surrounding collection materials and other objects in the repository also was a concern. "When the musical instrument provides a direct evidential record that is directly associated with the paper records," said one respondent, "then we take the instrument as part of the donation process. While we do on occasion take an instrument that does not have associated paper records, this is done only when the object complements an existing body of music instruments manufactured by a particular builder."

"If the collection is mostly instruments," said another person surveyed, "we would ask that they be separated from manuscript materials and donated elsewhere."

Several people surveyed qualified the collecting of instruments as relating to their charge to document the legacy of their institution. "This collection came to us from a retiring School of Music Dean," one said, "who donated the instruments to the School of Music." Another respondent wrote, "We have just four instruments in our collection. Two belonged to an alumna who had an international career performing the music of her culture. Two belonged to a professor who was a major figure in our music department for many years."

In addition to an instrument's provenance, its condition has some influence on the appraisal decision – but the repositories interviewed said they could be easily swayed to overlook condition if an instrument's provenance and association was in line with the institution's collecting policy.

One respondent to the survey also indicated that storage space was a concern: “The only real challenge with regard to the ingest of musical instruments is when the instrument is important, but also huge. Space concerns ultimately tend to win out, to my great dissatisfaction.”

Almost 40% of survey respondents also indicated that donor wishes influenced their appraisal decision. “Nearly every donor who has or wishes to donate instruments along with manuscript material requests that the instruments be on permanent display,” wrote one person taking the survey, “which we never agree to, nor advise.” The Met’s Suss added, “While museums do not encourage donors to attach restrictions to their gifts it does happen sometimes and we have to respect their wishes.”

Arrangement

In regards to the institutions interviewed, no one intellectual arrangement practice emerged as prevalent – but, in general, some connections between the instrument and other archival holdings was made (when one existed). The Louis Armstrong Archives and the Met documented their holdings at an item level and did not utilize traditional archival finding aids. However, if the instrument came in as a part of a collection or a group of objects, that association was made – providing some of the contextual resonance that a finding aid lends. The Rock & Roll Hall of Fame does not connect archival collections to museum holdings (home to all of their musical instrument holdings) through their finding aids, although they are considering doing so in the future. Instruments that are part of

larger collections of archival materials are noted in finding aids at the Institute of Jazz Studies, but many of their instruments arrived as standalone objects, and so are just listed as part of a registry of instruments.

More than half of survey respondents said they would accept instruments as part of a larger collection. “I have worked many years as a music historian, curator and archivist which has provided me with extensive experiences working with a variety of different types of analog and digital music instruments and objects,” one person surveyed elaborated, emphasizing that dividing the two formats amongst separate institutions would constitute a loss of meaning. “It has always been my belief that when the instruments (objects) and paper records of musicians, it is essential to preserve the materials together because the records provide the necessary informational contexts for understanding how the instrument was used by a given creator/user, and how the music object influenced the user’s creative output over time.”

Neither the IJS nor the Armstrong Archives physically stored instruments alongside related archival materials, citing different needs relating to both optimal storage conditions (climate, humidity, et cetera) and security concerns. The survey respondent with instruments related to a local wood carver and luthier also described the instruments as being stored separately, noting “We have the instruments loosely wrapped in archival paper and stored flat in a humidity/temperature controlled environment.”

Description

As with arrangement, no one descriptive practice was prevalent. While more than half of the professionals surveyed indicated that they used Describing Archives: A Content Standard (DACS) to describe their musical instrument holdings, none of the repositories interviewed did. The Institute of Jazz Studies provided the most minimal description, often just the name of instrument's former owner and the type of instrument ("Pee Wee Russell clarinet"). The Louis Armstrong Archive offered slightly more information on their instruments, but did not go into the depth that the Met did.

Neither the Met nor the Armstrong Archive utilized a descriptive content standard, and several survey respondents indicated using a homegrown standard that was entirely unique or a combination of several existing standards. "Our model is idiosyncratic but based loosely on both CCO [Cataloging Cultural Objects] and DACS; more CCO than DACS," said one respondent. "Categories for the Description of Works of Art [CDWA]-Lite also influenced our descriptive decision making. We're still refining our practice as we go along."

"While our descriptive standard is based largely on DACS," said another respondent, "we also apply AAM [Alliance of American Museums] descriptive guidelines for describing the physical nature of these instruments and other music objects."

Access

Access practices was one of the points of confluence in this study, with the majority of library, archives, and special collections surveyed and interviewed offering a great degree of access to instrument holdings – albeit with stipulations. Only a little over seven per cent of survey respondents said that users were not allowed to access musical instruments, while more than 53 per cent said that instruments could be accessed in the same manner as any other archival holdings. More than 17 per cent of those surveyed said that instruments in their collection were on display, giving the users the ability to observe them in person (although not handle the artifacts).

Both the Institute of Jazz Studies and the Armstrong Archives allow users to examine instruments in the presence of an archivist, provided arrangements are made in advance. While it is not an archive, the Met also allows researchers to examine instruments in their collection, depending on any stipulations attached to the instrument in question.

The Rock & Roll Hall of Fame does not allow public access to museum objects, so instruments are not accessible to researchers. Eventually, they plan to make their museum objects available for study as digital surrogates.

Instruments are also also exhibited and lent by all of the repositories interviewed, as a means of furthering their respective missions and raising awareness of their collections.

Preservation

Preservation was chosen by survey respondents as the most difficult archival task related to musical instruments. Whether due to a lack of staff qualification or a shortage of funding, forty per cent of those surveyed pointed to benign neglect as a preservation strategy they employed.

The Institute of Jazz Studies also approached repairs on an as-needed basis. If repairs were required, the instrument would be returned to the state most matching the original user's preferred setting – a view shared by 25% of survey respondents (or about 50% of those engaged in active preservation efforts). Maintaining a generally accepted standard of playability was a strategy used by 22.5% of those surveyed (or a little less than half of those engaged in active preservation efforts). The Armstrong Archive also maintains their trumpets in playable condition, although brass instruments have fewer elements that users can customize than stringed instruments do. Further research on the correlation between collection strategy and preservation strategy may prove illuminating. Do institutions that collect instruments used by specific individuals approach preservation differently than those who seek out representative examples of particular instrument types and makes?

In most cases, outside professionals provided the majority of instrument repair and preservation – although staff at the Armstrong Archives were trained to specifically maintain trumpets. "I have no background in the preservation of musical instruments," said one survey respondent, "and do not know whether it is best to repair, for instance, a cracked violin, or to let it be."

Conclusions and Areas for Further Study

Through interviews and the survey, the collection of musical instruments by archival institutions was revealed to be deliberate and closely tied to institutional mission. Although one surveyed archivist explained that some instruments had been accessioned in the past and that the repository no longer accepted other instruments today, no trace of the "repository of last resort" phenomenon described by Dean H. Jeffrey ("there just does not seem to be anywhere else to put them," 2005, p. 47) was uncovered. What emerged instead was a dedication to collecting areas (jazz, specific musical luminaries, important members of a university community, et cetera) that encompassed musical instruments and allowed for their logical inclusion in archival collections.

Instruments were found to arrive into collections as both standalone objects and in as part of larger archival collections. When accessioned with other, more traditional archival collection materials, the instruments are generally found in finding aids alongside other papers. The Rock & Roll Hall of Fame's workflow was a notable exception, with all three dimensional objects going not to their Library & Archives but to their museum division. If, like the Armstrong Archive, the institution doesn't use finding aids, the collection it came from is mentioned in the item description. The repositories interviewed indicated that instruments, even when part of a larger collection, are separated from other collection items due to storage and security issues.

When it came to describing instruments in archival environments, no one data content standard prevailed – although Describing Archives: A Content Standard (DACS), or some permutation thereof, was utilized by a little over half of those surveyed. More universal amongst institutions interviewed and surveyed is a commitment to access: While examining instruments may require certain special actions be taken (appointments made, gloves donned, supervision arranged, etc.), most repositories indicated that these are objects to be studied and utilized. Several institutions also exhibited and loaned instruments in their collection, a form of providing access that also served to raise institutional awareness.

Preservation was of great concern to archivists handling musical instruments, and was accomplished variously by staff, outside experts (some of whom volunteered their time or accepted only minimal compensation), or, in many cases, not all (benign neglect). Preservation strategies varied based on the instruments involved and the institution's mission. Those collecting instruments that held a strong association with an important musical figure were generally maintained as their former owner would have. Collections more focused on the instruments and less on their provenance, such as the Metropolitan Museum of Art's, were more inclined to maintain instruments to a general standard of playability.

Areas of further study raised by this exploratory investigation include:

- Why was benign neglect such a prevalent preservation strategy? Is it a function of limited funding, the current condition of instruments in the

collection, lack of staff knowledge of conservation practices, or institutional priorities?

- Why was DACS the most commonly utilized descriptive standard? Is this because many archives use it to describe all other archival holdings? What are its strengths and weaknesses when used to describe musical instruments and make them relevant to users of archives?
- How are instruments most often utilized by archive users? How can archival practices be tailored to facilitate such use?
- How do institutions identify qualified repair and conservation professionals?
- How can institutions safely exhibit and display musical instruments? What conditions need to be monitored, and what are the optimal levels of light, relative humidity, and other environmental factors?
- How has the collecting environment for instruments changed? Are more institutions being forced to compete on the open market for instruments, or is donation still a viable means of acquisition?

When reflecting on more than three decades of acquiring musical instruments and making them available in archival context, Dan Morgenstern of the Institute of Jazz Studies sees little distinction between the instruments and other items in the Institute's archival holdings. "I think about the tenor saxophone we have that belonged to Don Byas," he explains. "It has an octave key that is in the shape of a snake – that's just not typical. These items are very important, they have a very personal quality, like a letter from Billie Holiday or

sheet music written and scored by a well-known composer. They have an intrinsic value to people…they are so much more than just something to look at."

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Appendix I: Survey Questions

1. Which of the following best describes your repository?

    Archive

    Special Collection

    Library

    Other (please specify):

2. What is your role at your repository? (choose all that apply)

    Curatorial

    Processing

    Reference

    Other (please specify):

3. Does your repository accept musical instruments as part of their archival collections?

    Yes (Select this option if your repository has chosen to accession musical instruments – even if only under certain conditions or circumstances.)

    No (Select this option if your repository does not accept musical instruments under any circumstances.)

4. When offered a collection that includes musical instruments, do you tend to… (choose one)

    Accept these objects as part of the collection

Ask the donor to separate the instruments from the collection and have him or her deposit them elsewhere

Decline the collection

Other (please specify):

5. Which of the following factors influences your decision to accept a musical instrument into your collection? (choose all that apply)

Its association with an important creative figure

It is a rare or ideal example of a particular type or make of instrument

Cultural or ceremonial importance

Donor stipulations

Monetary/market value

Other (please specify):

6. Which descriptive standards do you employ to describe musical instruments, if any? (choose all that apply)

Describing Archives: A Content Standard (DACS)

Cataloging Cultural Objects (CCO)

Other (please specify):

None

7. How do you facilitate patron access to musical instruments in your collection? (choose one)

Access is not granted

Access is only granted to certain authorized parties (please specify):

They are treated exactly like other records in our archives and are available

to be studied under the same terms and conditions

We offer periodic demonstrations or performances featuring the instrument in question

Items are displayed prominently in our reading room or exhibition space

Other (please specify):

8. What approach best describes decisions related to maintenance, preservation, and/or repair of musical instruments in your collection? (choose one)

Keeping the artifact as close to its original use state as possible (maintaining owner's original settings and preferences)

Keeping the artifact as close to an optimum use state as possible (maintaining a standard level of upkeep unrelated to the original owner's preferences)

Benign neglect

Other (please specify):

9. When preserving musical instruments in your collection, do you rely on... (choose all that apply)

Outside professionals/specialists

Archive staff

Related professionals in your institution (professors, technicians, etc.)

Other (please specify):

10. Please rate the following archival functions based on the degree of challenge they pose to your institution when applied to musical instrument. A rating of zero indicates no challenge, while a ranking of five represents a substantial difficulty.

Terminology is based on the Society of American Archivists Glossary. For your reference, definitions are provided below each term.

Appraisal: The process of identifying materials offered to an archives that have sufficient value to be accessioned.

0 1 2 3 4 5

Arrangement: The process of organizing materials with respect to their provenance and original order, to protect their context and to achieve physical or intellectual control over the materials.

0 1 2 3 4 5

Description: The process of creating a finding aid or other access tools that allow individuals to browse a surrogate of the collection…

0 1 2 3 4 5

Access: The ability to locate relevant information through the use of catalogs, indexes, finding aids, or other tools.

0 1 2 3 4 5

Preservation: The professional discipline of protecting materials by minimizing chemical and physical deterioration and damage to minimize the loss of information and to extend the life of cultural property.

0 1 2 3 4 5

11. Feel free to use this space to any other instances involving the collection and processing of musical instruments in your collection that you feel is important to note.

Appendix II: Interview Questions

Note: As this was a semi-structured interview process, questions were tailored slightly to suit each interviewee. What follows are the core lines of questioning common to all participants. Throughout, participants were encouraged to support their answers with specific examples from their collection.

1. For the record, please provide your official title.

2. What are your primary responsibilities at your institute?

2.5. How would you describe your institution: Library? Archive? Special collection?

3. How would you say that collecting musical instruments relates to your institution's mission?

- Do you have a collection policy? Are musical instruments specifically stated in your collection policy (if you have one)?

4. How do you decide whether a particular musical instrument will be accepted into your collection?

- Does an association with a major artistic figure influence your decision?
- Do you seek to collect representative examples of certain musical instruments?
- How do a donor's wishes factor into your appraisal decision?

5. Are there factors that might lead you to *not* accept a musical instrument into your collection?

6. Are instruments usually donated as part of a larger collection, or as standalone objects?

7. Upon accepting a musical instrument as part of a larger collection, how is it arranged within that collection…

- Intellectually (within published finding aids)?
- Physically (within the repository's facility)?

8. How do you choose to describe musical instruments in your collection?

- Is there a specific finding aid within your collection that you think provides a model description?
- Do you employee a data content standard, such as Describing Archives: A Content Standard (DACS) or Cataloging Cultural Objects (CCO), to help describe musical instruments in your collection?

9. Are there particular aspects that you choose to focus on in your description? What do you feel is most important to relate to your users?

- Functional elements (valve arrangement, leadpipe length, et cetera)
- Provenance (ownership, use, etc.)
- Manufacturing information (date constructed, maker, et cetera)
- Current state or condition

10. How do you allow your users to access musical instruments in your collection?

- Is the access and use of these objects analogous to the access and use of more traditional archival material in your collection?

11. Do you utilize musical instruments for display and exhibition purposes?

- Do you lend these objects to other institutions?
- How does this kind of use further your institution's mission?

12. Do you know what sort of information do your patrons seek to acquire from these objects?

- Please provide specific use cases of how these objects have been used by patrons.

13. What factor most motivates decisions related to maintenance, preservation, and/or repair of musical instruments in your collection?

- Do you wish to maintain them as they were maintained by their original owners?
- Do you strive to keep them in working order (which may conflict with the motivation to keep them in their original owners' preferred state)?
- How does the instrument's potential archival use influence your preservation strategy?
- Is your staff able to provide the necessary preservation, or do you need to rely on outside specialists?